

FORM PTO-1390
(REV. 9-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

PTT-127(402568US)

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/019766

INTERNATIONAL APPLICATION NO.
PCT/EP00/03738INTERNATIONAL FILING DATE
19 April 2000PRIORITY DATE CLAIMED
25 May 1999TITLE OF INVENTION
SPEECH-PROCESSING SYSTEM

APPLICANT(S) FOR DO/EO/US DRENTH, Egbert Willem,, KAMPERMAN, Johannes Hendrikus Gerrit; HUISMAN, Victor Caspar Alexander; BOVES, Lodewijk Willem Johan

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. (with Form PTO/SB08A-B, copy of International Search Report and five (5) references & one English abstract)
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: postcard, Cover Letter (2 pps.), Application Data Sheet (2 pps.), copy of International Publication No. WO 00/72307 with one (1) drawing sheet (FIG. 1), copy of PCT Request (14 pps.), copy of PCT Demand (6 pps.), copy of Notification of Receipt of Demand (1 pp.), copy of Notification of Transmittal of the International preliminary Examination Report with a copy of the International Preliminary Examination Report and one (1) amended sheet (6 pps.).

10/019766

U.S. APPLICATION NO. (if known, see 37 CFR 1.51)

INTERNATIONAL APPLICATION NO.

PCT/EP00/03738

ATTORNEY'S DOCKET NUMBER

PTT-127(402568US)

21 ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO. \$1040.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$890.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =**CALCULATIONS PTO USE ONLY**

\$ 890.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 00.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	5 - 20 =	0	x \$18.00	\$ 00.00
Independent claims	2 - 3 =	0	x \$84.00	\$ 00.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$280.00
TOTAL OF ABOVE CALCULATIONS =				\$ 890.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.

\$ 00.00

SUBTOTAL =

\$ 890.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
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\$ 00.00

TOTAL NATIONAL FEE =

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Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

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TOTAL FEES ENCLOSED =

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Amount to be
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a. ☒ A check in the amount of \$ 890.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 13-3083 in the amount of \$ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
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d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
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NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

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10/019766

Speech-processing system.BACKGROUND OF THE INVENTION

5 The invention relates to a speech-processing system, comprising speech-recognition means for processing a signal (DATA) fed from a source to a speech input of said speech-processing system.

10 It is known that the quality of speech recognition at the receiving side of, e.g., a GSM link [GSM = Global System for Mobile communications] is currently insufficient. If the recogniser is located within the network, the recognition result on the GSM-speech signal received and decoded is partly affected by the amount of artificially generated noise which is added, on the basis of the silence detected at the transmission side, and the noise and disturbances received resulting from the decoded transmission errors on the radio path. To improve recognition, it is customary to collect speech material that had been transmitted, by way of GSM, and to use said material to develop new speech models, which are trained to speech signals containing (artificially generated) noise and distortions due to transmission errors, as a result of which the mismatch between the training situation and the recognition reality may be reduced.

25 The known matter has the following drawbacks: due to the training on the received and decoded speech signals, the performance of the speech recogniser may only be improved marginally, since:

- 30 1) decoding, e.g., encoded GSM signals is not standardised (only encoding is standardised), which signifies that in practice there arise situations in which the speech recogniser is trained on a GSM speech decoder other than the one applied at the input of the recogniser. The error correction applied in the decoder, e.g., is regularly changed since the manufacturer has found an improved way of processing transmission errors (which give rise to damaged speech) in such a manner that a large part of said errors is hidden (and therefore not or hardly noticeable to the human ear). This results in a mismatch arising between the training set on which the speech models are based and the actual speech.
- 35
- 40

- 2) by training on speech having transmission errors, one admittedly already models the errors in the speech models (which thereby become more complex), but there is no guarantee that the overall quality of the recognition increases, since there often applies: garbage in, garbage out.
- 3) it is not known in advance whether a signal contains speech or silence (from the transmitting side). Since artificially generated noise is added at the receiving side (comfort noise) when silences have been observed, the performance of the speech recognition declines, since the recogniser will attempt to "recognise" the noise.

SUMMARY OF THE INVENTION

The object of the invention is to overcome said drawbacks and to improve the performance of automatic speech-recognition systems operating at the receiving side of a speech-frame-oriented telephone-speech link. This may be, e.g., GSM, UMTS [= Universal Mobile Telecommunications System] or Voice-over IP [= Intelligent Peripheral]. The core of the invention is that, at the receiving side, not only a speech signal is offered to the speech-recognition system, but also signal parameters, which give information on characteristics of the signal received.

It concerns, e.g., parameters indicating the presence or absence of speech energy in the signal received, or the reliability of the signal received according to redundancy checks added at the transmitting side (e.g., CRCs [= Cyclic Redundancy Checks]).

In the event of GSM, such parameters are calculated on the basis of frames. Here, the parameters of interest in the framework of the invention are, inter alia, the BFI (= Bad Frame Indicator) calculated from, e.g., the CRC values per frame, and the SID (= Silence Descriptor) derived from a parameter SP (= Speech Flag). Said parameters are so far only used in GSM for detecting errors in the speech frames received, or for transmitter control (transmit only if speech is present), as the case may be.

Control of a speech recogniser by classifying parameters promotes the accuracy of the recognition, since the artificially generated noise may be ignored and defective frames may either be

- 3 -

ignored or adjusted, e.g., partially processed. Apart from the parameters referred to above - the BFI and the SID - use is also made of an encoding-mode parameter defining the significance of the speech-frame bits (FR [= Frame Relay], EFR [= Enhanced Full Rate], or the various modes under which AMR [= Adaptive Multi Rate] may operate). On the basis hereof, the recognition algorithm operative in the speech recogniser is adjusted to the characteristics with which the speech signal is encoded and decoded.

It is noted that control of speech processing means by error parameters are known from EP0854622. The known system, however, aims at improving the tone quality in voice transmission and reproduction, while the present invention refers to the field of speech-recognition, which means conversion from speech (spoken words) to text (printable characters).

DESCRIPTION OF THE FIGURES

The operation of the invention is further explained with reference to several figures. As an example, we take the current part of the GSM system which makes use of an Enhanced Full Rate (= EFR) codec[?]. The same does not apply, however, to a Full Rate (= FR) codec, nor to the (future) Adaptive Multi Rate (= AMR) codec. FIG. 1 shows two terminals - a first, mobile terminal, such as a GSM handset, and a second, nonmobile terminal, such as a GSM base station - which are capable of communicating with one another by way of a wireless medium 9. In the figure, there is presented only upstream communication - from handset to base station.

The handset shown in the top part of FIG. 1 comprises two modules or subsystems, namely a TX/DTX Handler 1 (DTX stands for Discontinuous Transmission) and a TX Radio Subsystem 2. Module 1 comprises a microphone 3, a speech encoder 4 and a Voice Activity Detector (= VAD) 5. Module 2 comprises a channel encoder 6, a SPeech-flag monitor 7 and a transmitter 8. Signals received by the microphone 3 are fed to both the speech encoder 4 and to the VAD 5.

In the VAD 5, it is detected whether the microphone 3 is receiving speech or silence. This is encoded with a "SPeech flag" (=SP), which is sent along with each speech frame. In the channel encoder 6, the microphone signal encoded in encoder 4 is

incorrectly transmitted frame may be corrected using said redundant information.

During the setup of the link, it is determined which encoding algorithm is used, which may be represented by the parameter CM (= "coding mode"). In the event of specific speech codecs (e.g., AMR), the "coding-mode" parameter for each frame is sent along, and the recogniser is dynamically driven thereby. In the event of other speech codecs, the parameter is transmitted to the receiving side only once, at the start of a session.

Transmitter 8 thus transmits a frame-encoded signal containing data (the signal proper), the parameter SP, the parameter CM (for specific speech codecs) and redundant information, as contained by the check sum CRC.

The receiving terminal at the bottom of FIG. 1 comprises two modules or subsystems in a GSM base station, namely, an RX[?] Radio System 11 — the counterpart of module 2 of the handset, and an RX DTX Handler 12 — the counterpart of module 1. Module 11 comprises a receiver 13, a channel-decoding and error-correcting module 14 and a parameter detector 15; the latter detects the presence and the value of the parameter SP sent along with the data signal and, if present, the parameter CM. Module 12 comprises a speech decoder 16 and a further processing module 17.

The input of a speech-recognition module 20 is - incidentally, per se in conformity with the prior art - connected to the output of the channel decoder 14. The speech recogniser 20 therefore processes the data signal not yet speech-decoded (speech). In conformity with the present invention, the speech recogniser 20 is driven by one or more signal parameters, which are received by way of detector 15. The basis of the parameter SP is formed at the transmitting side in the GSM handset, independently from the signal contents of the data signal received. In the error-correcting module 14, the frames received are checked for correctness, prior to decoding, against the redundant information sent along. Incorrect frames are earmarked as such or, if possible, repaired (in simple cases). Correct frames are passed on to the speech decoder 15. When it is not possible to correct a frame, module 14 gives off a BFI (= Bad Frame Indicator) parameter to detector module 15. According to the invention, said BFI is passed on, apart from to the speech

decoder 16, to the speech recogniser 20 as well. Upon receipt of said BFI, the speech recogniser 20 ignores the input offered, or attempts as yet to recognise that part of the frame which indeed may be earmarked as being correct (although the BFI has been set). In other words, the value of the BFI parameter operates as a control parameter for the speech recogniser, as a result of which it processes only correct frames in one go.

Of frames earmarked as being broken, it is attempted to use only that part which still continues to be correct, and frames earmarked as being wholly incorrect are ignored. That, in the event of a set BFI flag, part of the frame may still be correct, is caused by the bits in the speech frames being broken down into several classes (in GSM: 1A, 1B and 2).

Not every class is "protected" in the same manner by adding redundant information. For, e.g., GSM, if bits of class 1A are characterised as being "damaged" (on the basis of the CRC), the BFI flag is set (some manufacturers also set said flag in the event of damaged 1B bits).

This need not signify, however, that all remaining bits are damaged as well. The recogniser takes, as its input, feature vectors (Rabiner & Juang, 1993). Each speech frame is converted into a feature vector. The values of the undamaged part of the speech frame may still be offered to the recogniser. This may be realised, e.g., by giving the corrupted features in the feature vectors one specific value which results in a nil effect on the score of the signal received (De Veth, Cranen & Boves, 1998), or by ignoring the entire frame (Lippman & Carlson, 1997). In approximately the same way, the SID parameter affects the speech recogniser 20. The SID parameter is derived from the value of the Speech flag as given off by the Voice Activity Detector 5 and transmitted by transmitter 8. In the event of speech, the SP receives a specific value, as well as the SID; should speech be lacking (silence), the SP and thereby the SID parameter will receive another value. The result is that the speech recogniser is enabled in the event of the transfer of a real speech signal and disabled in the event of the absence of speech. Finally, as indicated above, it is possible to set the operation of the speech recogniser 20 as a function of the encoding algorithm of the speech encoder 4 (e.g., FR, EFR, AMR etc.). In the figure, such is done by the parameter CM determined by way of the

handshake (and therefore during the setup of the link), or sent along with each speech frame.

REFERENCES

- 5 Lippmann, R.P., Carlson, B.A., "Missing feature theory to actively select features for robust speech recognition with interruptions, filtering and noise", Proc. Of Eurospeech97, Rhodos, Greece, 1997.
- 10 Rabiner, L., Juang, B.H., "Fundamentals of Speech Recognition", Prentice-Hall, Inc. New Jersey, 1993.
- Veth, J. de, Cranen, B., Boves, L. (1998), "Acoustic backing-off in the local distance computation for robust automatic speech recognition", Proc. Of ICSLP 1998, Sydney, Australia.

100196-0500

CLAIMS

1. Speech-processing system, comprising speech-recognition means (20) for processing a signal entered from a source (1, 2) to a speech input (DATA), characterised by means for affecting the operation of the speech-recognition means by one or more control parameters (CM, SID, BFI) entered by way of a control input, each control parameter relating to a specific characteristic of the signal entered from the source to the speech-recognition means (DATA).
2. Speech-processing system according to claim 1, characterised in that a first control parameter (BFI) relates to the reliability or correctness of the signal entered and that the operation of the speech-recognition means (20) is adjusted to the reliability or correctness, as the case may be, indicated by said first control parameter, of the signal entered.
3. Speech-processing system according to claim 1, characterised in that a second control parameter (SID) relates to the speech/noise ratio and that the operation of the speech-recognition means (20) is adjusted to the speech/noise ratio of the signal entered indicated by said second control parameter.
4. Speech-processing system according to claim 1, the signal entered to the speech-recognition means (20) being encoded in speech-encoding means (4) at the source, characterised in that a third control parameter (CM) relates to the speech-encoding mode in the speech-encoding means, the operation of the speech-recognition means (20) being adjusted to the speech-encoding mode indicated by said third control parameter.
5. Telecommunications system, comprising a first terminal (1, 2) having speech- and channel-encoding means (4, 6), a transmission medium (9) and a second terminal (11, 12) having channel- and speech-decoding means (13, 16) and a speech-processing system according to claim 1, said signal (DATA) being offered from the first terminal, by way of the transmission medium, to the speech input of the speech recogniser of the second terminal, and each control parameter (CM, SID, BFI) being

offered by the first terminal, by way of the transmission medium, to the control input intended for that purpose of the speech-processing system of the second terminal.

(19) World Intellectual Property Organization
International Bureau



(43) International Publication Date
30 November 2000 (30.11.2000)

PCT

(10) International Publication Number
WO 00/72307 A1

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1012148 25 May 1999 (25.05.1999) **NL**

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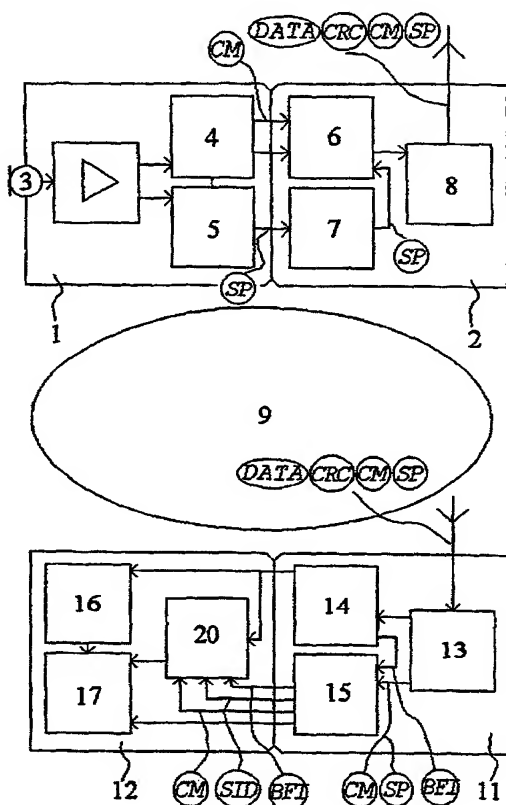
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(81) Designated States (national): **AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW.**

(84) Designated States (regional): **ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent**

[Continued on next page]

(54) Title: **SPEECH-PROCESSING SYSTEM**



(57) Abstract: To improve the performance of speech recognition under mobile circumstances, it is customary for speech material to be collected in order to be capable of making more accurate models of the speech. However, with some regularity the error correction is changed by the manufacturer, as a result of which the mismatch between training and reality increases. In addition, transmission errors are currently "taken care of" by including them in the training process, which increases the chance of "garbage in, garbage out". In order to overcome said drawbacks, the information available downstream (1, 2) in the frames on the frame quality (BFI) and the presence of speech (SP), is used to dynamically control the upstream speech recogniser (20). The result is that, of frames presumed incorrect, only the correct part is used, and frames in which no speech was transmitted, but in which there is silence, are ignored by the speech recogniser.

WO 00/72307 A1

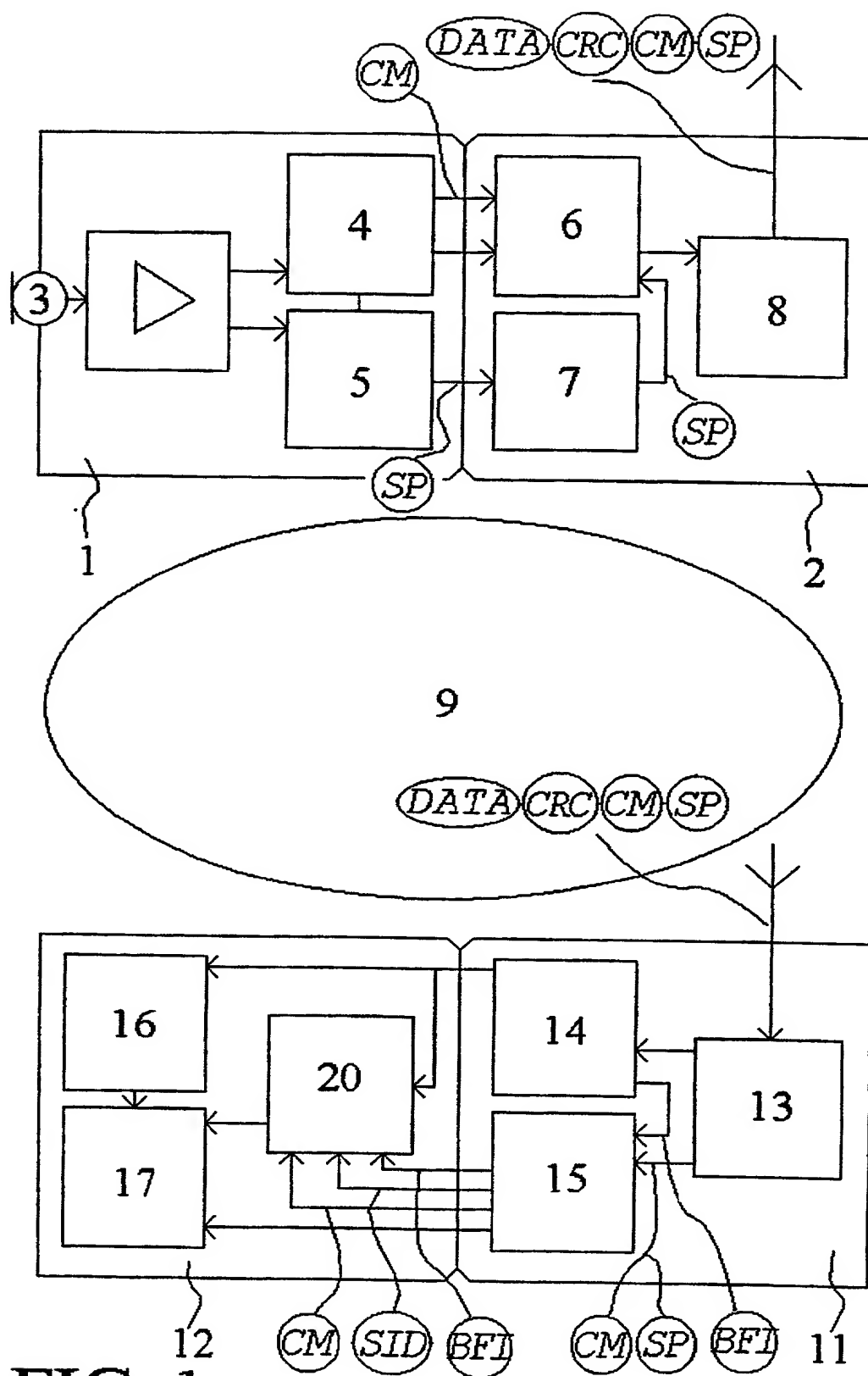


FIG. 1

**DECLARATION AND
POWER OF ATTORNEY**
(Utility Patent Application)

As a below named inventor, I hereby declare:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below), of the subject matter which is claimed and for which a patent is sought on the invention entitled:

"Speech-processing system ."

the specification of which:

— is attached hereto
— was filed on _____ as Application Serial
No. _____ with amendment(s) filed _____
☒ was filed as PCT international application: PCT/EP00/03738
and was amended under PCT Article 19 on April 19, 2001

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations section 1.56.

I hereby claim foreign priority benefits under Section 119 of Title 35, United States Code for the above-identified US patent application based on the patent or inventor's certificate identified below and having a filing date before that of the US patent application for which priority is claimed:
Priority Claimed

Application No Country Filing Date under 35 USC 119

1012148 The Netherlands May 25, 1999 YES

I hereby claim the benefit under Section 120 and/or Section 119(e) of Title 35 of the United States Code of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by Section 112 of Title 35 of the United States Code, I acknowledge the duty to disclose material information, as defined in Section 1.56 of Title 37 of the Code of Federal Regulations, which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Patented</u>	<u>Pending</u>	<u>Status</u> <u>Abandoned</u>
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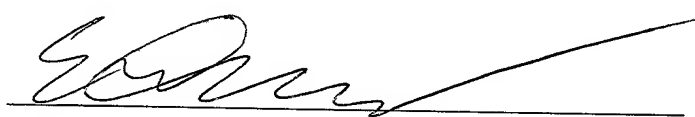
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10019766-050203
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Signature: 

Date: 12-11-2001

10019766-050000

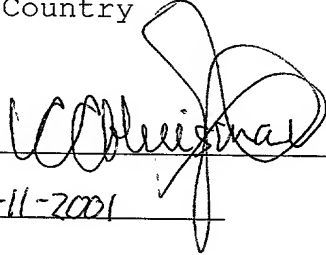
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Signature: 

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10019766-050200

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Citizenship: The Netherlands
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Signature: 

Date: 5-11-2001

Power of attorney:

As a named inventor, I hereby appoint:

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Robert M. Wallace (Reg. No. 29,119)
Jeremiah G. Murray (Reg. No. 20,533)
John T. Peoples (Reg. No. 28,250)
Ronald L. Drumheller (Reg. No. 25,674)
Edward M. Fink (Reg. No. 19,640)
Christopher Balzan (Reg. No. 40,901)
Eric Agaard (Reg. No. 40,478)

as my attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office in connection therewith.

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Red Bank, New Jersey 07701.

Direct all telephone calls to: (732) 530-6671.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.